

# Statement of Organization Recipient Committee

CALIFORNIA  
FORM **410**

## Recipient Committee:

A recipient committee is any individual (including an officeholder or a candidate), group of individuals, organization, or any other entity that receives contributions totaling \$1,000 or more during a calendar year.

The term "contribution" includes monetary payments, loans and non-monetary goods or services.

## Candidates:

The personal funds of a candidate or officeholder used in connection with seeking or holding elective office are contributions and are counted toward qualifying as a recipient committee. However, personal funds used to pay a candidate filing fee or a fee for the statement of qualifications to appear in the ballot pamphlet are not counted toward the \$1,000 threshold.

## When to file:

File the Form 410 within 10 days of receiving \$1,000 in contributions. The date this form is postmarked is the date it is considered filed.

A recipient committee qualifying during the 16 days prior to an election in which it must file pre-election statements must file a Form 410 or the information required on a Form 410 by telegram or personal delivery within 24 hours of qualification with the filing officer who will receive the committee's original disclosure statements. A Form 410 must also be filed with the Secretary of State within 10 days.

## Where to File:

All Committees:

Original & one copy      Secretary of State  
Political Reform Division  
P.O. Box 1467  
Sacramento, CA  
95812-1467

County & City Committees:

Copy      Local filing officer who  
will receive the original  
disclosure statements.

You will receive written notification from the Secretary of State's office assigning an identification number to your committee.

## Amending:

Except for the "24-hour" amendment noted below, an amendment is due to the Secretary of State and local filing officer (if applicable) within 10 days from the date of any change to the information contained on the Form 410.

## 24-Hour Amendment:

If, during the 16 days prior to an election when a committee is required to file pre-election statements, a change occurs in the name of the committee; the treasurer or other principal officers; or the controlling candidate, an amendment must be filed with the filing officer receiving the committee's original campaign

statements within 24 hours of the change. The amendment must be sent by telegram or personal delivery. If the Secretary of State is not the filing officer for the committee's original campaign statements, the amended Form 410 must also be filed with the Secretary of State within 10 days as stated above.

## Terminating:

All recipient committees must file disclosure statements until the termination requirements are met and the Form 410 Termination has been filed. See Part 5.

See the Information Manual on Campaign Disclosure Provisions of the Political Reform Act for additional information and information required to be provided to you pursuant to the Information Practices Act of 1977.

# Statement of Organization Recipient Committee

Type or print in ink

STATEMENT OF ORGANIZATION

## Statement Type

☐ Initial

Not yet qualified ☐ or

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date qualified as committee

☐ Amendment

List I.D. number:

# \_\_\_\_\_

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date qualified as committee  
(If applicable)

☐ Termination – See Part 5

List I.D. number:

# \_\_\_\_\_

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
Date of Termination

Date Stamp

**CALIFORNIA  
FORM 410**

For Official Use Only

## 1. Committee Information

NAME OF COMMITTEE

STREET ADDRESS (NO P.O. BOX)

CITY STATE ZIP CODE AREA CODE/PHONE

MAILING ADDRESS (IF DIFFERENT)

**OPTIONAL:** FAX / E-MAIL ADDRESS

COUNTY OF DOMICILE

COUNTY WHERE COMMITTEE IS ACTIVE IF DIFFERENT  
THAN COUNTY OF DOMICILE

Attach additional information on appropriately labeled continuation sheets.

## 2. Treasurer and Other Principal Officers

NAME OF TREASURER

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

NAME OF ASSISTANT TREASURER, IF ANY

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

NAME AND POSITION OF OTHER PRINCIPAL OFFICER(S), IF APPLICABLE

MAILING ADDRESS

CITY STATE ZIP CODE AREA CODE/PHONE

## 3. Verification

I have used all reasonable diligence in preparing this statement and to the best of my knowledge the information contained herein is true and complete. I certify under penalty of perjury under the laws of the State of California that the foregoing is true and correct.

Executed on \_\_\_\_\_  
DATE

Executed on \_\_\_\_\_  
DATE

Executed on \_\_\_\_\_  
DATE

Executed on \_\_\_\_\_  
DATE

By \_\_\_\_\_  
SIGNATURE OF TREASURER OR ASSISTANT TREASURER

By \_\_\_\_\_  
SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

By \_\_\_\_\_  
SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

By \_\_\_\_\_  
SIGNATURE OF CONTROLLING OFFICEHOLDER, CANDIDATE, OR STATE MEASURE PROPONENT

## Statement Type:

Check the box indicating if you are filing an "Initial" statement of organization, an "Amendment" to an existing statement of organization, or filing a "Termination" of a statement of organization.

### Initial

The "date qualified" as a committee is the date that the committee received contributions totaling \$1,000 or more during a calendar year. If a Form 410 is filed prior to receipt of \$1,000 in contributions, check the box "Not yet qualified." Once the committee qualifies, you must file an amended Form 410 to report the date qualified.

### Amendment

If any of the information reported on your initial statement of organization changes, e.g., you change treasurers:

- Mark the amendment box.
- Include the committee's ID number and name.
- Provide the changed information.
- Complete the verification.

If you are a controlled committee redesignating a campaign bank account for a future election:

- Mark the "amendment" box.
- Include the committee's ID number and name.
- Complete Part 4 by providing the candidate's name, elective office sought, the year of the election, and party affiliation, if applicable.

### Termination

If you are terminating your committee, indicate the date of termination. (It is no longer necessary to file a separate Form 415 to terminate your committee.)

## 1. Committee Information:

Provide the full name of the committee. A committee may use only one name. The name may not be an acronym or other abbreviation.

The committee's street address must be reported. A post office box is **not** acceptable. The committee's mailing address must also be reported if it is different from the committee's street address. A post office box is acceptable for the mailing address.

The following name identification rules apply to the Form 410, the committee's campaign statements and to any other references to the committee required by law (e.g., mass mailings). See the instructions for Part 4 for committee definitions.

### Sponsored Committees

A sponsored committee (including most political action committees) must include the name of its sponsor in the name of the committee. If the committee has more than one sponsor and the sponsors are members of an industry or other identifiable group, include a term identifying that industry or group. Obtain an FPPC information manual for more information.

### Primarily Formed Ballot Measure Committees

- A committee supporting or opposing a ballot measure as its principal activity must include the statement, "Committee For Proposition/Measure\_\_\_\_," or "Committee Against Proposition/Measure\_\_\_\_," in the name of the committee. File an amendment to your Form 410 if the ballot number or letter is not assigned when the committee qualifies.

- Recall elections: A committee primarily formed to support or oppose the recall of a candidate must identify in the committee name the name of the officeholder/candidate the committee is formed to support or oppose. For example: *A Committee to Oppose the Recall of John Doe.*

## 2. Treasurer, Assistant Treasurer, and Other Principal Officers:

The committee may have only one treasurer and one assistant treasurer.

Enter the name, address, and daytime telephone number of the committee's treasurer, and assistant treasurer, if any. If the committee has other principal officers, such as a president, secretary, or chairperson, list each officer's full name, position held, and address. Use an appropriately labeled attachment if necessary.

## 3. Verification:

The committee treasurer or assistant treasurer must sign the Form 410.

### Controlled Committees

Each controlling officeholder, candidate or state ballot measure proponent must sign the Form 410. If more than three control the committee, one of them may sign on behalf of all controlling individuals. If a candidate will serve as his or her own treasurer, he or she must sign as the candidate and again as the treasurer.

# Statement of Organization Recipient Committee

STATEMENT OF ORGANIZATION

**CALIFORNIA**  
**FORM 410**

INSTRUCTIONS ON REVERSE

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COMMITTEE NAME

I.D. NUMBER

## 4. Type of Committee

 Complete the applicable sections.

### Controlled Committee

- List the name of each controlling officeholder, candidate, or state measure proponent. If candidate or officeholder controlled, also list the elective office sought or held, and district number, if any, and the year of the election.
- List the political party with which each officeholder or candidate is affiliated or check "non-partisan."
- If this committee acts jointly with another controlled committee, list the name and identification number of the other controlled committee.

NAME OF CANDIDATE/OFFICEHOLDER/STATE MEASURE PROPONENT	ELECTIVE OFFICE SOUGHT OR HELD (INCLUDE DISTRICT NUMBER IF APPLICABLE)	YEAR OF ELECTION	PARTY
			<input type="checkbox"/> Non-Partisan
			<input type="checkbox"/> Non-Partisan

- List the financial institution and the disposition of surplus funds (controlled "candidate election" committees only)

NAME OF FINANCIAL INSTITUTION	AREA CODE/PHONE	BANK ACCOUNT NUMBER	DATE OPENED
ADDRESS	CITY	STATE	ZIP CODE
DISPOSITION OF SURPLUS FUNDS			

### Primarily Formed Committee

Primarily formed to support or oppose specific candidates or measures in a single election. List below:

CANDIDATE(S) NAME OR MEASURE(S) FULL TITLE (INCLUDE BALLOT NO. OR LETTER)	CANDIDATE(S) OFFICE SOUGHT OR HELD OR MEASURE(S) JURISDICTION (INCLUDE DISTRICT NO., CITY OR COUNTY, AS APPLICABLE)	CHECK ONE	
		SUPPORT	OPPOSE
		SUPPORT	OPPOSE

#### 4. Type of Committee:

A committee must complete each applicable section. In some instances, a committee may qualify as more than one type of committee.

##### Controlled Committee

A “controlled committee” is one which is controlled directly or indirectly by an officeholder, candidate, or state measure proponent, or which acts jointly with an officeholder, candidate, state measure proponent, or another controlled committee in connection with making expenditures.

A committee is controlled if the officeholder, candidate, or proponent, his/her agent, or any other committee he/she controls, has a significant influence on the actions or decisions of the committee.

“Proponents” of state measures are persons who request the Attorney General to prepare a title and summary of a state initiative, referendum, or measure.

##### Controlled "Candidate Election" Committee

You may disclose your bank account information on the Form 410 in lieu of completing a separate Form 502 Campaign Bank Account Statement.

List the name and address of the financial institution where the campaign bank account is located, the bank account number, and the date opened.

If your campaign bank account is not open at the time you file an initial Form 410, amend the Form 410 within 10 days of opening the bank account.

##### About Your Bank Account

- A campaign bank account must be established at an office of a financial institution located in the state.
- A bank account designated for a particular election may be redesignated for a future election to the same office by amending the Form 410 to include the new election year and filing an initial Form 501 (Candidate Intention) for the election.

A new bank account and committee must be established to run for a different office. File initial Forms 501 (Candidate Intention) and 410 for the election.

- All money to be used for campaign purposes, including the candidate's personal funds, must be deposited in the campaign bank account for the specific office prior to expenditure, excluding personal funds used to pay the filing fee and/or fee for the statement of qualifications in the ballot pamphlet.

##### Disposition of Surplus Funds

A controlled candidate election committee must specify how surplus funds will be spent. Once campaign funds become surplus, they may not be used for a future election.

Campaign funds become surplus at the end of the semi-annual period following the defeat of a candidate (i.e., June 30 or December 31), or when an officeholder leaves office, whichever is later. To use funds for a future election to the same

office, redesignate the funds for that election before they become surplus. To use funds for a different office, open a new bank account for that office and transfer the funds to the account before they become surplus.

There are other restrictions on the types of expenditures that can be made from surplus funds. For example, you may make charitable donations, but not contributions to other candidates and committees. Refer to the [FPPC Information Manual on Campaign Disclosure Provisions](#) (Manual A) for detailed information.

##### Primarily Formed Committee

A committee is “primarily formed” when its principal activity is raising or spending money to support or oppose a specific candidate or measure or a group of specific candidates or measures all being voted upon in the same election on the same date. A committee established for the sole purpose of a recall election is a primarily formed committee.

A committee controlled by a candidate for his or her own candidacy is not a primarily formed committee.

If a primarily formed committee meets the sponsored committee definition, also complete the sponsored committee section.

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COMMITTEE NAME

I.D. NUMBER

## 4. Type of Committee (Continued)

**General Purpose Committee**

Not formed to support or oppose specific candidates or measures in a single election. Check only one box:

☐ CITY Committee ☐ COUNTY Committee ☐ STATE Committee

PROVIDE BRIEF DESCRIPTION OF ACTIVITY

**Sponsored Committee**

List additional sponsors on an attachment.

NAME OF SPONSOR

INDUSTRY GROUP OR AFFILIATION OF SPONSOR

MAILING ADDRESS

NO. AND STREET

CITY

STATE

ZIP CODE

**Broad Based Committee**☐ (For purposes of special election contribution limits)

## 5. Termination Requirements

 By signing the verification, the treasurer, assistant treasurer and/or candidate, officeholder, or proponent certify that all of the following conditions have been met:

- This committee has ceased to receive contributions and make expenditures;
  - This committee does not anticipate receiving contributions or making expenditures in the future;
  - This committee has eliminated or has no intention or ability to discharge all debts, loans received, and other obligations;
  - This committee has no surplus funds; and
  - This committee has filed all campaign statements required by the Political Reform Act disclosing all reportable transactions.
- There are restrictions on the disposition of surplus campaign funds held by elected officers who are leaving office and by defeated candidates. Refer to the Information Manual on Campaign Disclosure Provisions of the Political Reform Act, for Elected Officers, Candidates and their Controlled Committees (Manual A).
- Additional filing obligations will be incurred if, after terminating, the committee receives or spends any funds, or receives the forgiveness of a loan, repayments of loans made to others, or any other receipts.



### General Purpose Committee

A committee is a general purpose committee if its principal activity is supporting or opposing a variety of candidates or measures not voted upon in a single election.

- A **city** committee makes contributions and expenditures in connection with a single city's elections and includes special districts located within a single city.
- A **county** committee makes contributions and expenditures in connection with a single county's elections. A county committee also includes elections for special districts located in a single county or any number of cities located in a single county.
- A **state** committee makes contributions and expenditures in connection with state elections, or in connection with elections held in more than one county.

Provide a brief description of the committee's political activities such as whether or not it supports candidates or measures that share a common political affiliation. If the general purpose committee meets the sponsored committee definition, also complete the sponsored committee section.

### Sponsored Committee

A "sponsored committee" is a general purpose or primarily formed committee, other than an officeholder or candidate controlled committee, that has one or more sponsors.

An organization, business, or other entity is a sponsor if one or more of the following apply:

- The committee receives 80% or more of its contributions from the entity or organization or its members, officers, employees, or shareholders.
- The entity or organization collects contributions for the committee by use of payroll deductions or dues from its members, officers or employees.
- The entity or organization, alone or in combination with other entities or organizations, provides all or nearly all of the administrative services for the committee.
- The entity or organization, alone or in combination with other entities or organizations, sets the policies for contribution solicitations or payment of expenditures from committee funds.

See the instructions for Part 1 for name identification requirements.

### Broad Based Committee

A "broad based committee" has been in existence for more than six months and, at any time during the current fiscal year (7/1 - 6/30) and the two preceding fiscal years, has received contributions from 100 or more persons and has made contributions to five or more candidates.

## 5. Termination Requirements

Recipient committees do not automatically terminate; they may only terminate under the following circumstances:

- They have ceased to receive contributions and make expenditures; and
- They do not anticipate receiving contributions, repayments of outstanding loans made to

others, or any other receipts in the future, and they do not anticipate making expenditures in the future; and

- They have eliminated or have no intention or ability to discharge all their debts, loans received, and other obligations; and
- They have no campaign funds; and
- They have filed all required campaign statements disclosing all reportable transactions, including disposition of funds.

Additional filing obligations will be incurred if after terminating, the committee receives or spends any funds, or receives the forgiveness of a loan, repayments of loans made to others, or any other receipts.

### How to Terminate

#### State Recipient Committees

- File an original and one copy of the Form 410 Statement of Organization Termination along with an original and one copy of your Form 450 or 460 with the Secretary of State.
- File two copies of your Form 450 or 460 with your local filing officials.

#### Local Recipient Committees

- File an original and one copy of the Form 410 Statement of Organization Termination with the Secretary of State; and
- File a copy of the Form 410 Statement of Organization Termination, along with an original and one copy of your Form 450 or 460 with your filing officer.